

DOE TECHNICAL STANDARDS PROGRAM PROCEDURES

DOE-TSPP-4

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REGISTERING A TECHNICAL STANDARD PROJECT

U.S. Department of Energy
Office of Nuclear Safety Policy and Standards
Washington, D.C. 20585

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1. SCOPE

1.1 Purpose

This procedure outlines the process for registering a project to develop a DOE Technical Standard, to perform certain periodic updates (revisions, reaffirmations, inactivations for new design, and reinstatements) to DOE Technical Standards, or to register a person's or organization's intent to work with a non-Government standards body to prepare or revise a non-Government standard. The procedure also describes the approval process required before a project can be registered.

1.2 Applicability

This procedure applies to all DOE Headquarters and field organizations, management and operating contractors, and laboratories (hereafter referred to collectively as "DOE Components") working to the latest revision of DOE Order 252.1, "Technical Standards Program."

2. REGISTERING THE PROJECT

2.1 Process Description

2.1.1 Initiation of technical standard projects. Each technical standard project is registered using the DOE Project Registration and Approval Request (PRAR) form (Attachment A). The form should be submitted for projects that meet the guidelines of DOE-TSPP-2. For organizations not having an active Technical Standards Manager, the project registration can be coordinated through an affiliated TSM or through arrangements with the DOE TSP Manager.

If the subject matter of a DOE Technical Standard project is related to a rule, Order, or other DOE requirements document, the person or organization who is requesting the project must provide a copy of the PRAR and discuss the need for the document with the appropriate DOE Headquarters Office of Primary Interest (OPI). The Technical Standards Program Office cannot assign a project number until the OPI has agreed to the need for the standard. If the OPI concurs with the project, the Preparing Activity must coordinate the proposed DOE Technical Standard with the OPI during the formal coordination phase. The approval letter (see DOE-TSPP-8) should document the OPI review.

NOTE: Given the OPI's existing responsibility to ensure the consistency and completeness of the DOE policy and requirements documents

under their cognizance (including references to applicable technical standards), the OPI may assume the role of Preparing Activity for certain DOE Technical Standards projects.

2.1.2 Approval of a technical standard project. After the Preparing Activity and cognizant Technical Standards Manager determine that a DOE Technical Standards project meets the guidelines of DOE-TSPP-2, the Preparing Activity's senior line manager should approve it. The approving senior line manager is a line manager with the authority to commit DOE funds to develop the technical standard (e.g., SES with budget authority). (Non-Government standards projects on which a DOE representative is working do not require DOE approval, but they should be registered with the Technical Standards Program Office.) As necessary, the Technical Standards Manager will discuss the technical standards project, the selection of the Preparing Activity and Review Activities, and any budgetary considerations with the senior line manager.

2.1.3 Assignment of a number to technical standard projects. Assignment of a project number for a DOE Technical Standards project confirms that it is approved. Assignment of a project number for a non-Government standard project registers the work with DOE for informational purposes and permits DOE to publicize the activity. For DOE Technical Standards, the Preparing Activity should place the project number on all drafts and correspondence related to the standard until its completion. In addition, a statement is added to all drafts of the document indicating that the document is a draft copy and has not been approved for issue. A final document identifier (the DOE Technical Standard number) is assigned by the responsible Technical Standards Manager (representing the Cognizant Secretarial Officer or Program Senior Official) when the project is complete and the final draft has been approved by the senior line manager.

Project numbers consist of two parts. The first part is the applicable Functional Area, Federal Supply Group (FSG), or Federal Supply Class (FSC). The second part is a four-digit number that is assigned serially by the Technical Standards Program Office. (Examples of project numbers: HFAC-0039, 63GP-0012, 6115-0049.) Functional Areas are listed in DOE-TSL-2, *Directory of Points of Contact for the DOE Technical Standards Program*. FSGs and FSCs are discussed in *Federal Supply Classification, Part 1, Groups and Classes* (DoD Cataloging Handbook H2-1).

After the project number has been assigned, the Technical Standards Program Office returns the PRAR to the Preparing Activity with the assigned project number. In addition, the Technical Standards Program Office records the project in the Technical Standards Information System (TSIS) data base and announces project initiation in *Standards Actions*.

2.1.4 Monitoring technical standards projects. The Technical Standards Program Office and the Technical Standards Manager of the Preparing Activity

monitor the progress of approved technical standards projects to ensure their timely completion and adherence to program objectives. The Preparing Activity should send all coordination drafts and the final approved document to the appropriate Technical Standards Manager, who reviews the format and forwards the document to the Technical Standards Program Office. (Note: Electronic copies of draft and final documents should be submitted in parallel with hard copies to expedite processing) The Technical Standards Program Office, working with the Preparing Activity's Technical Standards Manager, may recommend to the Manager, Technical Standards Program, that a project be discontinued if that project is not following program procedures. The Preparing Activity may appeal a decision to discontinue a project. In this instance, the DOE Technical Standards Managers' Committee hears the appeal and makes a determination. Projects that remain for extended periods of time and show no apparent activity should be brought to the attention of the cognizant Technical Standards Manager annually by the TSPO. A decision can then be made regarding the continued need for the activity.

- 2.1.5 Closeout of technical standards projects. After a non-Government standard or DOE Technical Standard has completed the coordination and approval process and is released for publication, the PRAR is marked "Completed," and the TSIS data base is annotated with the date that the document was received by the Technical Standards Program Office (see DOE-TSPP-8).

2.2 Procedure for Registering a Project

The following general procedure should be used to register a technical standards project (see Figure 1):

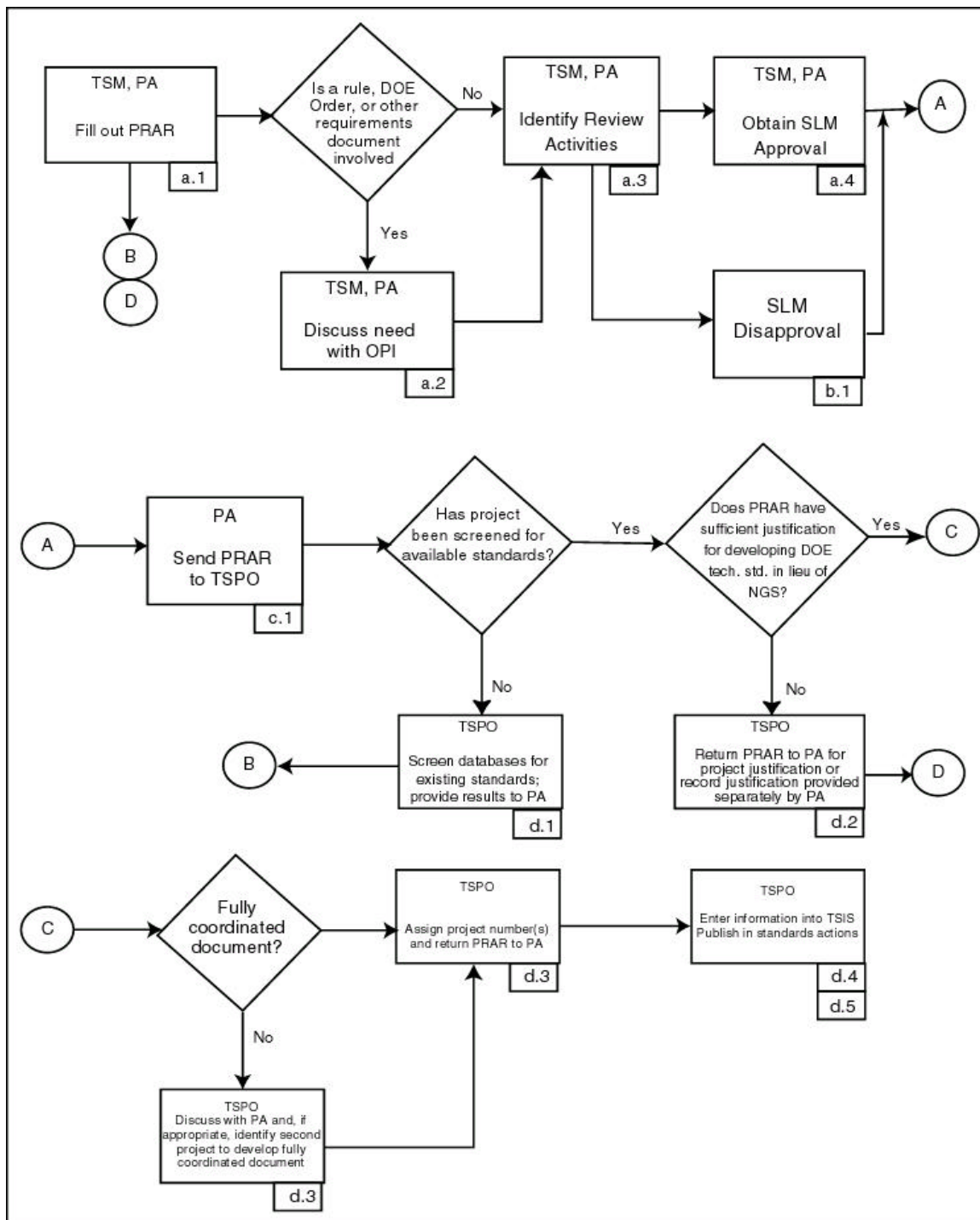


Figure 1. DOE Technical Standards project registration process flow diagram.

Person(s) Responsible	Action
a. Preparing Activity and Technical Standards Manager	<ol style="list-style-type: none"> 1. Prepare a DOE PRAR identifying whether the proposed DOE Technical Standard is to be a full coordination or a limited coordination document, and whether it is related to a rule, Order, or other DOE requirements document (see paragraph 2.1.1 of this procedure). 2. If a rule, Order, or other DOE requirements document is identified, discuss the need with the OPI. 3. Identify on the PRAR those organizations or individuals who will be asked to participate in document coordination as Review Activities. <p>NOTE: All DOE Technical Standards Managers must receive a copy of a full coordination document for their review (refer to the Technical Standards Program Home Page or contact the Technical Standards Program Office for the most current list). Additional review activities may be selected by the Preparing Activity or by a Technical Standards Manager. These additional reviewers could include personnel representing purchasers, users, suppliers, manufacturers, and industry regulatory bodies (such as the Nuclear Regulatory Commission for nuclear-related issues). Review Activities may also identify themselves to the Technical Standards Program Office or the Preparing Activity as a result of the project being published in <i>Standards Actions</i>. Coordination of technical standards is discussed in DOE-TSPP-6.</p> <p>In addition, as required by the October 7, 1996, memorandum from Robert R. Nordhaus to All Secretarial Officers, any DOE office planning to develop or developing a technical standard that would apply directly or indirectly to contractor employees or other members of the public should consult with program counsel and the Office of the Assistant General Council for Regulatory Law for advice as to whether notice and comment rulemaking is required under the Administrative Procedures Act. Any question on the applicability of notice and comment</p>

	<p>rulemaking requirements should be addressed as early in the standards development process as possible (i.e., at the advance notification phase). When advance notification documents and draft standards are circulated for review by DOE Components, the Office of the Assistant General Council for Regulatory Law will review them and identify those directives that should be subjected to notice and comment rulemaking because they would determine the rights and obligations of contractor employees or other members of the public.</p> <p>Also, as committed to in DOE's response to Defense Nuclear Facilities Safety Board (DNFSB) Recommendation 90-2, copies of new or revised nuclear safety-related technical standards are to be coordinated with the Board through the Office of the Departmental Representative to the DNFSB (S.3-1).</p> <p>4. Submit the PRAR, including estimates of cost and schedule to complete the project, to the designated senior line manager for approval.</p>
b. Senior line manager	1. Approve or disapprove the project and return the PRAR to the Preparing Activity.
c. Preparing Activity	1. If the project is approved, send the PRAR to the Technical Standards Program Office for assignment of a project number.
d. Technical Standards Program Office	<p>1. If the Preparing Activity has not previously discussed the need for the project, review the data base of existing standards for similar documents and prepare a list of similar documents for return to the Preparing Activity along with the PRAR.</p> <p>2. If the project involves development of a DOE Technical Standard, ensure that the PRAR (or a related document from the Preparing Activity) contains justification for developing a DOE standard in lieu of pursuing development of a non-Government standard (Federal requirement for reporting by DOE per PL 104-113 and OMB Circular A-119). If justification has not been provided or is inadequate, work with the Preparing Activity to obtain the needed justification or return PRAR to the Preparing Activity.</p>

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| | <ol style="list-style-type: none">3. Assign a project number, return the form to the originator, and retain a copy in the project file. |
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NOTE: A second project number is to be assigned for developing fully coordinated DOE Standards and DOE Specifications to replace limited coordination documents; this should be discussed with the Preparing Activity to confirm that the action is appropriate.

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| | <ol style="list-style-type: none">4. Record the project in the TSIS data base.5. Publish the information about the project in <i>Standards Actions</i>. |
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DOE Technical Standards Program

ATTACHMENT A
DOE PROJECT REGISTRATION AND APPROVAL REQUEST, DOE F 1300.5
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ATTACHMENT A
DOE PROJECT REGISTRATION AND APPROVAL REQUEST, DOE F 1300.5
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DOE F 1300.5
(01-94)

INSTRUCTIONS

OMB Control No.
1910-0900

1. Send to: U.S. Department of Energy (DOE) Technical Standards Program Office (TSPO) at the address in block 1.
2. From: Responsible DOE individual's name, organization, routing symbol, and address.
3. Project Number: Assigned by TSPO in response to this request, left blank on initial submission to the TSPO.
4. Document Identifier: Assigned by Headquarters Standards Manager upon completion of project, left blank at project initiation.
5. Document Title: Title of the document to be developed or revised (verify existing title in DOE Standards Index for revisions). Title must give clear indication of the subject of the document without the use of extraneous words.
6. Preparing Activity (PA): Routing symbol of the DOE Component designated as the PA. This identifies the responsible Standards Manager (e.g., DP-62, IDO).
7. Basis for Project Initiation: Enter the applicable code from the following table:
 - A - Advancements in technology, methods, or practices
 - B - Needed for immediate use
 - C - Document maintenance
 - D - Other (DOE feedback form, change to user requirement, direction of higher authority)
8. Action: Identify the type of action being taken in accordance with the following table:
 - 1 - New Document
 - 2 - Revision
 - 3 - Inactive for New Design Notice
 - 4 - Cancellation Notice
 - 5 - Reinstatement Notice
 - 6 - Other (Explain in block 13)
9. Policy: Since special attention is focused on new policies (i.e. foster materials, products, systems, services, or practices that are environmentally sound and energy efficient), it is often necessary to identify those projects that implement these policies. This block will be used to indicate whether or not the project is the result of one of the special interest areas listed below.
 - A - Commercial Item Description or reduction of Government requirement
 - B - Non-Government standard
 - C - Conversion to non-Government standard (technology transfer)
 - D - International standardization agreement
 - E - Environment
 - F - Toxic materials
 - G - Energy efficiency
 - M - Metrication
 - N - Nuclear Safety
 - O - Safety other than nuclear
 - R - Resource conservation
 - X - Not a result of policy actions
10. Status: Enter the applicable status code from the following table to show the current status of the project. Status code is required for all projects.
 - A - Project initiated and work is underway
 - C - Project in coordination
 - G - Project completed
 - Y - Project discontinued
 - Z - Project to be initiated (planned Project)
11. Schedule: These blocks should indicate the best estimate of the dates for planned project start, beginning of coordination, and completion of the document by month and calendar year. (Note: most projects require at least 90 days between coordination and completion.
12. Review Interest: Place an "X" under listed DOE Components who will be asked to review the document. Add additional DOE Components, contractors, etc. who will also be asked to review the document. The "X" indicates that the originator feels that the component would like to review and comment on the document or participate in its development or revision. In addition to Headquarters organizations, Operations Offices, Area Offices, Laboratories, and Power Administrations should be considered. Use block 13 if additional space is required.
13. Scope and Purpose of Project: This area is provided to document the scope of the project, the purpose for which it is being undertaken, and the Office of Primary Interest if a higher tier document such as an existing Rule, DOE Order, or other policy is involved. The scope for a new document should be explicit. If changes occur to the scope during document development, the DOE F 1300.5, should be revised and reissued. Other information may be included such as the type of coordination proposed (limited or full), proposed members of the writing group, suggested expert reviewers, or special handling of the document (e.g., restricted information). Attach additional pages of explanation if required.
14. Author/Committee Chair: Enter the name and phone number of the individual who will actually develop or revise the document (or enter the committee chair). This person's name will be made available as the point of contact during the project. If an agent (contractor, etc.) is used to represent the Author or Committee Chair from DOE, that person's name and phone number should be included in block 13 (example: Agent - Joe Smith, Los Alamos National Lab., (505) 555-1234).
15. Approved By: The typed name, overwritten by the signature, of the approving line management official (e.g., SLM) who authorizes the budget and resources to complete the project.

OMB Burden Disclosure Statement

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management, Policy, Plans, and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1910-0900), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-0900), Washington, DC 20503.

